

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: James Daniel BALDWIN et al.

Confirmation No.: 9023

Application No: 10/697,871

Group Art Unit: 3611

Filing Date: October 31, 2003

Examiner: Lum Vannucci, Lee Sin Yee

For: COMPOSITE CONSTRUCTION VEHICLE  
FRAME

Atty. Docket No.: 81305-4000

**CHANGE OF ENTITY STATUS**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

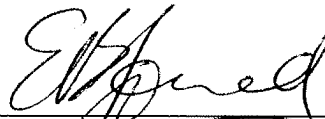
Sir:

This communication hereby notifies the United States Patent and Trademark Office that the Assignee is claiming small entity status for the above mentioned application, pursuant to the attached Verified Statement Claiming Small Entity Status, and that all fees should be paid at the small entity rate.

Respectfully submitted,

Feb. 26, 2007

Date



E. Bradley Gould (Reg. No. 41,792)

**WINSTON & STRAWN LLP**  
**Customer No. 28765**

(212) 294-6610

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**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS**  
**[37 CFR 1.27(a)(2) - Small Business Concern]**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

I hereby declare that I am an official of the small business concern empowered to act in behalf of the concern identified below:

**VECTRIX CORPORATION**  
**11 Touro Street, Suite 201,**  
**Newport, Rhode Island 02840**

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 37 CFR 1.27(a)(2), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the person employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern and/or there is an obligation under contract or law by the inventor(s) to convey rights to the small business concern with regard to the invention entitled **COMPOSITE CONSTRUCTION VEHICLE FRAME** by **James Daniel BALDWIN et al.**, described in

- ☐ the specification filed herewith
- ☒ application no. 10/697,871 filed October 31, 2003
- ☐ patent no. \_\_\_\_\_ issued \_\_\_\_\_

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.27(a)(1) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.27(a)(2), or a nonprofit organization under 37 CFR 1.27(a)(3).

FULL NAME: Vectrix Corporation  
ADDRESS: 11 Touro Street, Suite 201  
Newport, RI 02840  
☐ INDIVIDUAL    ☒ SMALL BUSINESS CONCERN    ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. [37 CFR 1.27 (g)]

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, and patent issuing thereon, or any patent to which this verified statement is directed.

Send correspondence to: **WINSTON & STRAWN LLP**    Direct Telephone calls to:  
**Customer No. 28765**    Patent Department  
202-282-5904

Name of Person Signing: Peter Hughes

Title other than Owner: Vice President of Technology

Address of Signer: Vectrix Corporation

65 Cove Street

New Bedford, MA 02744

Signature:  Date: 2/26/07

\*NOTE: Separate verified statements are required from each named person, concern, or organization having rights to the invention averring to their status as small entities.